

Violations – Business Rules - Simplified

For additional information on data entry including business processes and more business rules, visit the CIWQS intranet page at <http://waternet.waterboards.ca.gov/oima/ciwqs/index.shtml>.

The following is a summary of the business rules for the violations modules. To read the extended version, including definitions, examples, and explanations, see the [“Violations Module – Business Rules – Detailed.”](#)

Violation Type^{*} - This field classifies the violation. Effluent violations require parameter-related information.

Parameter-Based Violations

The Violation Type determines the display of other fields within the violation record. The following violation types present “parameter-based” violation fields:

- ATOX
- CTOX
- CAT1
- CAT2
- OEV
- Some Order Conditions¹

Parameter[#] - Parameter that was the source of the violation. Once you select a parameter, the system will choose the appropriate pollutant category. For example, if you choose “chlorine, total residual,” the system will display Category #2 as read-only.²

Limit[#] - Numeric limit contained in the order.

Result[#] - Result of the calculation performed to determine compliance.

Units[#] - Units of both the limit and result.

Limitation Period[#]

This is the limit basis, such as monthly average or six-month median.

^{*} Required field

¹ At the time of creation, the user may select an entry from the parameter list that is not actually an effluent discharge parameter, but can convey information that the database stores in a usable format. In these cases CIWQS maps these values to “Order Condition” violations. These include available storage volume, dechlorinating agent, freeboard, pheophytin, temperature difference between intake and discharge, temperature difference between sample and upstream.

[#] Conditionally required

² The mapping is based on the current Enforcement Policy’s Appendices C and D.

These fields are required for newly created effluent limit violations. For older violations, if one of the five parameter-based fields is updated, they must all be updated and the violation description is automatically updated. Any previously entered text is over-written.

Non-Parameter-Based Violations

Violation Description* (May display in reports) - Be as detailed as necessary but as brief as possible. Use this field to describe the violation.

For **deficient** reporting include why a report was deficient. For **late** reports, include report due date. For violations of **order conditions**, summarize or insert the prohibition, specification, or provision that was violated and explain the incident. For **groundwater** violations, note whether it is a new or existing release, whether the discharger is in evaluation monitoring or corrective action (if applicable), the type of release (salts, metals, VOCs, etc.), and the number and identifier of impacted monitoring wells.

Violation Comments - Use this field for any additional information or comments, as appropriate.

Corrective Action - Use this field to describe any corrective actions taken or proposed by the Discharger to correct the violation.

Status* - This field is used to record if the allegation is auto-generated by the SSO module (potential), has been confirmed (violation), or has been found not to be a violation (dismissed). Do not use the status of potential.

Dismissal Reason[#] - This field appears when the violation status is "Dismissed." It is used to describe why the violation was dismissed, including what information was found to make the incident in question not a violation.

Discovery Date - The Discovery Date is the date that staff, the Discharger, or a third party discovered the violation.

Occurrence Date* - This required field is the date that the violation occurred. For continuing violations, such as monthly average, use the last day of the reporting period. If unknown, enter the date the violation was discovered by staff, the Discharger, or a third party. For deficient or late reports, the occurrence date is the day after the report was due.

Report Receipt Date – This is a read-only field populated from the e/SMR module.

Violation Source* - This field indicates how or where the violation was determined.

Violation Source ID[#] – The violation source ID is system generated and is populated when the user selects a specific CIWQS record related to the source. A specific record must be selected by the user when one exists.

Regulatory Measure^{*} - The violation record must be linked to the regulatory measure that was violated. If this is a violation at an unregulated site, link to a regulatory measure with the type “unregulated” for the site.

Program^{*} - Select the program associated to the violation.

Monitoring Location[#] - Select the monitoring location that is the source of the violation, if the violation is associated with a particular monitoring location. If the monitoring locations have been coded into the system, this field is required.

Violation Rank^{*} - This field assigns significance to the violation, but is independent of whether a violation is “serious” or not. Rank 1 is for violations that pose a substantial threat, Rank 2 for moderate violations, and Rank 3 for minor violations.

NPDES Serious Violation[#] - This yes/no radio button is only enabled if the violation is associated to the NPDES or Construction/Industrial Stormwater³ program and is a CAT1, CAT2, or Late Report violation. (See the [Enforcement Policy](#) for more information.)

Toxicity Violation Subject to MMP Non-Serious Count (NPDES Only)[#] - This yes/no radio button is only enabled if the violation is associated to the NPDES or Construction/Industrial Stormwater³ program and has violation type “ATOX” or “CTOX.” Mark “yes” for this field if the violation is of an effluent toxicity limit but the permit **does not** contain pollutant-specific limitations for toxic pollutants (i.e. the priority pollutants listed in the California Toxics Rule). This is very rare.

This field was previously called “Otherwise Subject to MMP Chronic Count.”

This field is required if the violation is of a toxicity effluent limit and the permit does not contain pollutant-specific numeric effluent limits.

MMP Exempt Reason[#] – Complete this field if a violation should not be considered an MMP.

Other MMP Exempt Reason[#] - This field appears when “Other” is selected for “If violation is not subject to MMP, select a reason” field. It must be used to describe why the violation should not be an MMP even though it appears to meet the criteria.

³ For Regional Board permits that reside in CIWQS. The Statewide General Stormwater Permits are housed in SMARTS and currently are not subject to MMPs.

This field is required when “Other” is selected for “If violation is not subject to MMP select a reason” field.

Related Parties – The following related parties must be related to every violation:


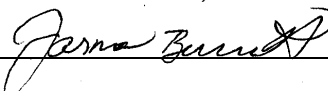
- Responsible Party* (Organization)
- Water Board* (Organization)
- Assigned Water Board Staff* (Person)

Related Places* - There must be one and only one linked place with place type of “facility” or subtype of facility with the relationship of “originating.”

Linked Enforcement Actions# - If the violation leads to an enforcement action, it can be linked on this tab.

Additional Info - The field on this tab allows the user to indicate whether the violation should be included on EPA’s Quarterly Non-Compliance Report.

Attachments - Attach documents or photos as necessary.

APPROVAL SECTION			
Approver	Printed Name	Signature	Date
Business Rules Team	Committee Members Present	Approved as Meeting Agenda Item	6/7/2012
CIWQS Quality Assurance Lead	Eric Maag		6/19/2012
Statewide CIWQS Coordinator	Jarma Bennett		6/19/2012

Summary of Changes

Version	Summary of Major Changes	Date
1	Original version	4/1/08
2	<ul style="list-style-type: none"> ▪ Added text box regarding data entry documentation page ▪ Reviewed for consistency of required/conditionally required fields with data entry screens based on audit results ▪ Added parameter and non-parameter based violation entry information 	6/19/12